

# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: : Confirmation No.: 4843  
:   
Richard C. ROSE : Attorney Ref.: 2000-0499  
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Serial No.: 09/972,929 : Art Unit: 2655  
:   
Filed: October 10, 2001 : Examiner: James S. Wozniak  
:   
FOR: SYSTEMS AND METHODS FOR DYNAMIC RE-CONFIGURABLE SPEECH  
RECOGNITION

**The Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

## INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 C.F.R. §1.56, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached PTO/SB/08A. Unless otherwise indicated herein, one copy of each reference that is not a US Patent reference is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom. In accordance with 37 C.F.R. §1.97(b), the filing of this Information Disclosure Statement shall not be construed to be an admission that the information cited in the statement is, or is not considered to be, material to patentability as defined in §1.56(b).

- ☒ 1. This information disclosure statement is being filed within three months of the filing date of a national application other than a continued prosecution application under §1.53(d); within three months of the date of the entry of the national stage as set forth in §1.491 in an international application; before the mailing of a first Office action on the merits; or before the mailing of a first Office action after the filing of a request for continued examination under §1.114. No certification or fee is required. (37 C.F.R. §1.97(b)). If a first office action was mailed before the filing of this IDS, please debit deposit account 502960 the necessary fees set forth in 37 C.F.R. §1.17(p) to proceed to consider the cited references.
- ☐ 2. This information disclosure statement is being filed more than three months after the filing date of a national application other than a continued prosecution application under §1.53(d); more than three months after the date of the entry of the national stage as set forth in §1.491 in an international application; after the mailing date of a first Office action on the merits, or after the mailing of a first Office action after the filing of a request for continued examination under §1.114, but before the mailing date of any of a Final action under §1.113, a Notice of Allowance under §1.311 or an action that otherwise closes prosecution in the application. (37 C.F.R. §1.97(c)).
- ☐ a. I hereby certify that each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent

office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement. (37 C.F.R. §1.97(e)(1)).

☐ b. I hereby certify that no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and to my knowledge after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement. (37 C.F.R. §1.97(e)(2)).

☐ c. Payment for the above is being paid by Credit Card, for payment of \$180 to cover the fee under 37 C.F.R. §1.17(p) and to ensure consideration of the disclosed information. If necessary, the Commissioner for Patents is authorized to charge or credit the **Law Office of Thomas M. Isaacson, LLC, Account No. 50-2960** for any deficiency or overpayment in order to process this IDS

☐ 3. This information disclosure statement is being filed after the mailing date of any of a Final action under §1.113, a Notice of Allowance under §1.311, or an action which otherwise closes prosecution, whichever occurs first, but on or before payment of the Issue Fee. (37 C.F.R. §1.97(d)).

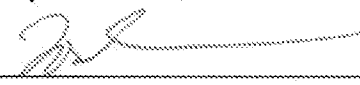
☐ a. I hereby certify that each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement. (37 C.F.R. §1.97(e)(1)).

☐ b. I hereby certify that no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement. (37 C.F.R. §1.97(e)(2)).

☐ c. Please debit Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the fee under 37 C.F.R. §1.17(p) and ensure consideration of the disclosed information.

☐ 4. Other Comments:

Respectfully submitted,

By: 

Date: June 27, 2007

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Substitute for form 1449A/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

## Application Number

**09/972,929**

Filing Date

**October 10, 2001**

## First Named Inventor

**Richard C. ROSE**

## Art Unit

2655

**Examiner Name**

**James S. Wozniak**

# Sheet

**1 of 3**

Attorney Docket Number

## 2000-0499

## U.S. PATENT DOCUMENTS

[illegible]

EXAMINER SIGNATURE

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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*(use as many sheets as necessary)*

**Application Number**

09/972,929

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**October 10, 2001**

**First Named Inventor**

**Richard C. ROSE**

## Art Unit

2655

**Examiner Name**

James S. Wozniak

## Sheet

**2 of 3**

Attorney Docket Number

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## FOREIGN PATENT DOCUMENTS

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		<b>Examiner Name</b>		<b>James S. Wozniak</b>	
<b>Sheet</b>	<b>3 of 3</b>	<b>Attorney Docket Number</b>		<b>2000-0499</b>	
<b>OTHER DOCUMENTS - NON-PATENT LITERATURE DOCUMENTS</b>					
*Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	TRANSLATION		
			YES	NO	
	1	ANASTASAKOS T ET AL: "A compact model for speaker-adaptive training" PROCEEDINGS INTERNATIONAL CONFERENCE ON SPOKEN LANGUAGE PROCESSING (ICSLP '96), Philadelphia, PA, USA, vol. 2, 3-6 October 1996, pages 1137-1140, XP002121818	<input type="checkbox"/>	<input type="checkbox"/>	
	2	ACERO A ET AL: "Speaker and gender normalization for continuous-density hidden Markov models" PROCEEDINGS IEEE INTERNATIONAL CONFERENCE ON ACOUSTICS, SPEECH, AND SIGNAL PROCESSING (ICASSP '96), Atlanta, GA, USA, vol. 1, 7-10 May 1996, pages 342-345, XP002121819	<input type="checkbox"/>	<input type="checkbox"/>	
	3	ISHII J ET AL: "SPEAKER NORMALIZATION AND ADAPTATION BASED ON LINEAR TRANSFORMATION" PROCEEDINGS IEEE INTERNATIONAL CONFERENCE ON ACOUSTICS, SPEECH, AND SIGNAL PROCESSING (ICASSP '97), MUNICH, GERMANY, vol. 2, 21-24 April 1997, pages 1055-1058, XP000822632	<input type="checkbox"/>	<input type="checkbox"/>	
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